



Section 11

PATENT
Docket No. 226272002201

CERTIFICATE OF MAILING BY "FIRST CLASS MAIL"

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:
Assistant Commissioner for Patents, Washington, D.C. 20231, on November 8, 1999.

Tiffany Dolmseth
Tiffany Dolmseth

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In the application of:

Leaf Huang *et al.*

Serial No.: 09/376,395

Filing Date: August 18, 1999

For: STABLE LIPID-COMPRISING DRUG
DELIVERY COMPLEXES AND
METHODS FOR THEIR PRODUCTION

Examiner: Not yet assigned

Group Art Unit: 1643

TRANSMITTAL LETTER FOR MISSING PARTS OF APPLICATION

Box Missing Parts
Assistant Commissioner for Patents
Washington, D.C. 20231

Dear Sir:

In complete response to the Notice to File Missing Parts of Application Under
37 C.F.R. § 1.53(d) dated September 8, 1999, attached please find:

- ☒ Part 2 of "Notice to File Missing Parts of Application" Form PTO-1533 (1 page).
- ☒ Declaration signed by the inventor(s) (6 pages).
- ☒ Preliminary Amendment (20 pages).
- ☒ Check in the amount of \$1,201.00 (\$65.00 for surcharge; \$1,136.00 for filing fee).
- ☒ Return Receipt Postcard.

Please enter the attached preliminary amendment prior to calculation of the fees.

A small entity statement was filed in the prior nonprovisional application and such status
is still proper and desired.

The filing fee has been calculated as follows:

FOR	NUMBER FILED	NUMBER EXTRA	RATE	CALCULATIONS
TOTAL CLAIMS	91 - 20 =	71	x \$18.00	\$1,278.00
INDEPENDENT CLAIMS	6 - 3 =	3	x \$78.00	\$234.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable) 1			+ \$260.00	\$0
			BASIC FEE	\$760.00
			TOTAL OF ABOVE CALCULATIONS =	\$2,272.00
SURCHARGE FOR FILING MISSING PARTS				\$130.00
			TOTAL OF ABOVE CALCULATIONS =	\$2,402.00
Reduction by 1/2 for filing by small entity (Note 37 C.F.R. §§ 1.9, 1.27, 1.28).				\$1,201.00
			TOTAL =	\$1,201.00

- ☒ A check in the amount of \$1201.00 is attached.
- ☐ Charge to Deposit Account No. 03-1952.

The Assistant Commissioner is hereby authorized to charge any additional fees under 37 C.F.R. §§ 1.16 and 1.17 that may be required by this transmittal and associated documents, or to credit any overpayment to Deposit Account No. 03-1952.

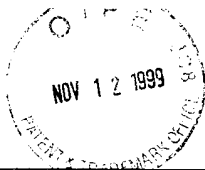
Respectfully submitted,

Dated: November 8, 1999

By:

Madeline I. Johnston
Madeline I. Johnston
Registration No. 36,174

Morrison & Foerster LLP
755 Page Mill Road
Palo Alto, California 94304-1018
Telephone: (650) 813-5840
Facsimile: (650) 494-0792



UNITED STATES DEPARTMENT OF COMMERCE

Patent and Trademark Office

Address: COMMISSIONER OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NO./TITLE
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DATE MAILED:

NOTICE TO FILE MISSING PARTS OF APPLICATION
Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 CFR 1.16(e) of ☐ \$65.00 for a small entity in compliance with 37 CFR 1.27, or ☐ \$130.00 for a non-small entity, must also be timely submitted in reply to this NOTICE to avoid abandonment.

If all required items on this form are filed within the period set above, the total amount owed by applicant as a
☐ small entity (statement filed) ☐ non-small entity is \$_____.

- ☐ 1. The statutory basic filing fee is:

- ☐ missing.
☐ insufficient.

Applicant must submit \$_____ to complete the basic filing fee and/or file a small entity statement claiming such status (37 CFR 1.27).

- ☐ 2. The following additional claims fees are due

\$_____ for _____ total claims over 20.

\$_____ for _____ independent claims over 3.

\$_____ for multiple dependent claim surcharge.

Applicant must either submit the additional claim fees or cancel additional claims for which fees are due.

- ☐ 3. The oath or declaration:

- ☐ is missing or unsigned.
☐ does not cover the newly submitted items.

An oath or declaration in compliance with 37 CFR 1.63, including residence information and identifying the application by the above Application Number and Filing Date is required.

- ☐ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified under 37 CFR 1.42, 1.43 or 1.47

A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.

- ☐ 5. The signature of the following joint inventor(s) is missing from the oath or declaration:

An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed by the omitted inventor(s), identifying this application by the above Application Number and Filing Date, is required.

- ☐ 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 1.21(m)).

- ☐ 7. Your filing receipt was mailed in error because your check was returned without payment.

- ☐ 8. The application was filed in a language other than English.

Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR 1.17(k), unless previously submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).

- ☐ 9. OTHER: _____

Direct the reply and any questions about this notice to "Attention: Box Missing Parts."

A copy of this notice MUST be returned with the reply.

Customer Service Center

Initial Patent Examination Division (703) 308-1202

11/16/1999 CVORACHA 00000026 0376395
01 FC:201 360.00 0P
02 FC:203 639.00 0P
03 FC:202 117.00 0P
04 FC:205 65.00 0P